

# CERTIFICATE OF MAILING

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David Rozenblat, Reg. No. 47,044

Name of Applicant, Assignee or  
Registered Representative

David Rozenblat

Signature

10/9/2001

Date of Signature

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Our Case No.: 7103/238

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Walters et al.

Serial No.: 09/876,451

Filing Date: June 7, 2001

For: APPARATUS AND METHOD FOR  
CONDITIONING POLISHING PAD  
IN A CHEMICAL MECHANICAL  
PLANARIZATION PROCESS

Examiner: To Be Assigned

Group Art Unit No.: To Be Assigned

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and

made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

No.	Date	Name
3,753,269	08/21/73	Budman
4,318,250	03/09/82	Klievoneit et al.
4,672,985	06/16/87	Mohr
4,720,939	01/26/88	Simpson et al.
4,934,102	06/19/90	Leach et al.
5,081,051	01/14/92	Mattingly et al.
5,335,453	08/09/94	Baldy et al.
5,484,323	01/16/96	Smith
5,531,635	07/02/96	Mogi et al.
5,536,202	7/16/96	Appel et al.
5,547,417	08/20/96	Breivogel et al.
5,558,568	09/24/96	Talieh et al.
5,575,707	11/19/96	Talieh et al.
5,593,344	01/14/97	Weldon et al.
5,611,943	03/18/97	Cadien et al.
5,622,526	04/22/97	Phillips
5,643,044	07/01/97	Lund
5,655,951	08/12/97	Meikle et al.
5,692,947	12/02/97	Talieh et al.
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5,725,417	03/10/98	Robinson
5,759,918	06/02/98	Hoshizaki et al.
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5,779,526	07/14/98	Gill
5,871,390	02/16/99	Pant et al.
5,897,426	04/27/99	Somekh
5,899,798	05/04/99	Trojan et al.
5,908,530	06/01/99	Hoshizaki et al.
5,958,794	09/28/99	Burxvoort et al.
5,975,094	11/2/99	Shurtliff
6,086,460	07/11/00	Labunsky et al.
6,123,607	09/26/00	Ravkin et al.
WO 98/45090	10/15/98	PCT
WO 99/22908	05/14/99	PCT
S. Inaba, T. Katsuyama, M. Tanaka, "Study of CMP Polishing pad Control Method," 1998 CMP-MIC Conference, February 19-20, 1998, 1998 IMIC - 300P/98/0444.		
MegaSonics Cleaner Products, <a href="http://www.prosysmeg.com/html/body_prod_transducer.html">http://www.prosysmeg.com/html/body_prod_transducer.html</a> .		
ProSys Product Systems Inc., <a href="http://www.prosysmeg.com/body_index.html">http://www.prosysmeg.com/body_index.html</a> .		
U.S. Patent Application Serial No. 09/475,518: "METHOD AND APPARATUS FOR CONDITIONING A POLISHING PAD"; Inventor: Finkelman; Filed: December 30, 1999; Attorney Docket No. 7103-117		
U.S. Patent Application Serial No. 09/540,385: "METHOD AND APPARATUS FOR CHEMICALLY-MECHANICALLY POLISHING SEMICONDUCTOR WAFERS"; Inventors: Travis et al.; Filed March 31, 2000; Attorney Docket No. 7103-123		
U.S. Patent Application Serial No. 09/540,602: "METHOD AND APPARATUS FOR CONDITIONING A POLISHING PAD"; Inventor: John M. Boyd; Filed March 31, 2000; Attorney Docket No. 7103-133		

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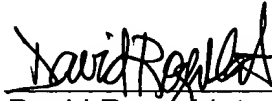
U.S. Patent Application Serial No. 09/540,810: "FIXED ABRASIVE LINEAR POLISHING BELT AND SYSTEM"; Inventors: Zhao et al.; Filed March 31, 2000; Attorney Docket No. 7103-135
U.S. Patent Application Serial No. 09/541,144: "METHOD AND APPARATUS FOR CHEMICAL MECHANICAL PLANARIZATION AND POLISHING OF SEMICONDUCTOR WAFERS USING A CONTINUOUS POLISHING MEMBER FEED"; Inventors: Mooring et al.; Filed March 31, 2000; Attorney Docket No. 7103-165
U.S. Patent Application Serial No. 09/607,743: "A CONDITIONING MECHANISM IN A CHEMICAL MECHANICAL POLISHING APPARATUS FOR SEMICONDUCTOR WAFERS"; Inventors: Vogtmann et al.; Filed June 30, 2000; Attorney Docket No. 7103-173
U.S. Patent Application Serial No. 09/607,895: "APPARATUS AND METHOD FOR CONDITIONING A FIXED ABRASIVE POLISHING PAD IN A CHEMICAL MECHANICAL PLANARIZATION PROCESS"; Inventors: Ravkin et al.; Filed June 30, 2000; Attorney Docket No. 7103-180
U.S. Pending Patent Application Serial No. 09/796,955, Entitled "METHOD AND APPARATUS FOR CONDITIONING A POLISHING PAD WITH SONIC ENERGY," Filed February 28, 2001; Attorney Docket No. 7103-189
U.S. Pending Patent Application Serial No. 09/754,702, Entitled "METHOD AND APPARATUS FOR CONDITIONING A POLISHING PAD WITH SONIC ENERGY," Filed January 4, 2001; Attorney Docket No. 7103-190

In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "David Rozenblat", is written over a horizontal line.

David Rozenblat  
Registration No. 47,044  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
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1765



TRANSMITTAL LETTER			Case No. 7103/238
Serial No. 09/836,451	Filing Date June 7, 2001	Examiner To Be Assigned	Group Art Unit To Be Assigned
Inventor(s) Walters et al.			
Title of Invention APPARATUS AND METHOD FOR CONDITIONING POLISHING PAD IN A CHEMICAL MECHANICAL PLANARIZATION PROCESS			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is A Transmittal Letter (in duplicate); Information Disclosure Statement (in duplicate); Form PTO-1440; 46 References; and White Acknowledgement Postcard.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

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					Small Entity		or		Other Than Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee			Rate	Add'l Fee
Total		Minus			x \$9 =				x \$18 =	
Indep.		Minus			x 42 =				x \$84 =	
First Presentation of Multiple Dep. Claim					+ \$140 =				+ \$280 =	
					Total add'l fee	\$			Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,  
  
\_\_\_\_\_  
David Rozenblat  
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Attorney for Applicant

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 10/9/2001.

Date: 10/9/2001 Signature:

rev. Dec.-01  
Document 4